Records and Information Management Policy

Section 1 - Purpose

(1) The purpose of this policy is to provide direction to all staff on the management of University records. The policy applies to all records created and/or captured during the conducting of University business. It establishes a framework for records and information management within the University to:

a. Facilitate legislative compliance;
b. Promote effective business practice; and
c. Protect University information assets as evidence of current practice and for future reference.

Section 2 - Scope

(2) The University is obliged to comply with all requirements of relevant legislation. Therefore, adherence to the requirements in this Policy and relevant Records and Archives Management Procedures is mandatory and applies to all University members and to all University records and information, in any format, created or received, to support University business activities.

Section 3 - Principles

(3) Recordkeeping will be a routine part of conducting business and will be closely aligned to the University's business processes. An analysis of these processes within the context of business needs, legal and regulatory obligations, as well as meeting broader community expectations is to be used as the basis of design for a recordkeeping system. These needs and obligations will be reviewed on a regular basis or as the result of significant change.

(4) The University of Canberra makes, manages, and keeps records to support its business needs, legal and regulatory obligations, and broader community expectations. Records must be maintained on approved business systems.

a. A system must be assessed for compliance with records standards before it is implemented or before records are migrated to or from the system. A major change to existing systems must also be assessed for such compliance.
b. Appropriate record/information asset owners will be appointed for relevant record categories, such as student, staff, financial, research and others as required.
c. Records must be organised and managed to preserve their context and ease of retrieval.
d. Records must be retained in accordance with approved records disposal schedules from the Territory Records Office.
e. Records management methods and recordkeeping systems are to be regularly reviewed to ensure their continuing suitability and effectiveness.

(5) Records and Archives Management Procedures are to be designed to detail the way all staff will make, modify, use, handle, and care for records, as well as how and for how long records will be kept.

This policy document may be varied, withdrawn or replaced at any time. Printed copies, or part thereof, are regarded as uncontrolled and should not be relied upon as the current version. It is the responsibility of staff printing this document to always refer to the Policy Library for the latest version.

(6) Everyone employed by or contracted to the University of Canberra is responsible for creating, capturing, and managing records. The University's recordkeeping practices will ensure that its records are adequate for:

a. facilitating action by employees at any level, and their successors;
b. making possible a proper scrutiny of the conduct of business by anyone authorised to undertake such a scrutiny; and
c. protecting the financial, legal, and other rights of the University, its clients and any other people affected by its actions and decisions.

(7) Records created or captured by the University community are corporate assets that are owned by the University and managed accordingly.

(8) Throughout their full retention period, records must be actively managed and organised to preserve context, accessibility, and usability.

(9) No records are to be destroyed without a University-approved Records Disposal Schedule.

(10) In compliance with the appropriate disposal process, records must be destroyed at the date specified in approved records disposal schedules unless there is:

a. a continuing business use;
b. a pending or anticipated legal action; or
c. a current hold or freeze on destruction issued by the Director of Territory Records.

(11) Permanent retention records are transferred to the University or Territory archives for long term preservation and access.

Section 4 - Responsibilities

WHO	RESPONSIBILITIES
All Staff	• Understand the recordkeeping obligations and responsibilities of their roles.
Chief Information Officer (CIO)	• To establish and implement a records management program.
Information Asset Owner	• To promulgate business rules and standards regarding the management of information for which they have been identified the owner.
Records Manager	• To oversee day-to-day records management activities including planning for future work. • To act as a liaison with the University community to implement recordkeeping principles to business processes. • To act as the liaison with the Territory Records Office.

Section 5 - Definitions

TERMS	DEFINITIONS
Approved business system	A system either owned or contracted by the University that has been assessed and entered on a Business Systems/Information Asset Register.

TERMS	DEFINITIONS
University records	Information, in any format created and kept, or received and kept, as evidence and information by a person in accordance with a legal obligation or in the course of conducting business.
University	University of Canberra ABN 81 633 873 422.

Status and Details

Status	Current
Effective Date	3rd December 2024
Review Date	31st July 2027
Approval Authority	Chief Operating Officer and Vice-President Operations
Approval Date	27th July 2024
Expiry Date	To Be Advised
Custodian	Michelle Moore Chief Operating Officer and Vice-President Operations Michelle.Moore@canberra.edu.au
Responsible Manager	Melissa Hankinson Chief Information Officer +61 2 62068760
Author	Nick Markesinis Policy Specialist
Enquiries Contact	Nick Markesinis Policy Manager Policy